

2-168  
2 161



COPY OF PAPERS  
ORIGINALLY FILED

PATENTS  
CF-6

4/4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicants : Stuart A. Fraser et al.  
Application No. : 09/593,554  
Filed : June 14, 2000  
For : SYSTEMS AND METHODS FOR  
ELECTRONIC TRADING THAT PROVIDE  
INCENTIVES AND LINKED AUCTIONS  
Group Art Unit : 2768

RECEIVED  
FEB 06 2002  
Technology Center 2100

New York, New York 10020  
November 1, 2001

Hon. Commissioner for Patents  
Washington, D.C. 20231

TRANSMITTAL LETTER FOR  
INFORMATION DISCLOSURE STATEMENT

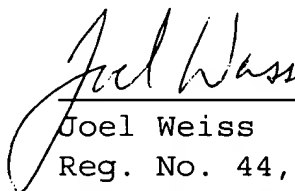
Sir:

Transmitted herewith is an Information Disclosure  
Statement for the above-identified application. This  
Statement is submitted:

- ☐ within three months of the application filing date;
- ☒ more than three months from the application filing date but before the mailing date of the first Office Action on the merits.

In accordance with 37 C.F.R. § 1.97, submission of this Statement requires no fee. However, if for any reason a fee is due, the Director is hereby authorized to charge payment of any fees required in connection with this Information Disclosure Statement to Deposit Account No. 06-1075. A duplicate copy of this letter is transmitted herewith.

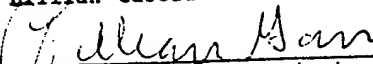
Respectfully submitted,

  
\_\_\_\_\_  
Joel Weiss

Reg. No. 44,398  
Attorney for Applicants  
c/o FISH & NEAVE  
Customer No. 1473  
1251 Avenue of the Americas  
New York, New York 10020-1104  
Tel.: (212) 596-9000

I Hereby Certify that this  
Correspondence is being  
Deposited with the U.S.  
Postal Service as First  
Class Mail in an Envelope  
Addressed to:  
COMMISSIONER FOR  
PATENTS  
WASHINGTON, D.C. 20231 on

November 1, 2001  
Lillian Garcia

  
\_\_\_\_\_  
Signature of Person Signing

RECEIVED

FEB 06 2002

Technology Center 2100

PATENTS

CF-6



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicants : Stuart A. Fraser et al.  
Application No. : 09/593,554  
Filed : June 14, 2000  
For : SYSTEMS AND METHODS FOR  
ELECTRONIC TRADING THAT PROVIDE  
INCENTIVES AND LINKED AUCTIONS  
Group Art Unit : 2768

New York, New York 10020  
November 1, 2001

Hon. Commissioner for Patents  
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §§ 1.56 and 1.97, applicants  
hereby make the following documents of record in the above-  
identified patent application:

UNITED STATES PATENTS

|                   |                           |            |
|-------------------|---------------------------|------------|
| Nymeyer           | U.S. Patent No. 3,581,072 | (05/25/71) |
| Kalmus et al.     | U.S. Patent No. 4,674,044 | (06/16/87) |
| Fujisaki          | U.S. Patent No. 4,789,928 | (12/06/88) |
| Lupien et al.     | U.S. Patent No. 5,101,353 | (05/31/92) |
| Kosaka et al.     | U.S. Patent No. 5,161,103 | (11/03/92) |
| Guttermann et al. | U.S. Patent No. 5,297,031 | (03/22/94) |
| Togher et al.     | U.S. Patent No. 5,375,055 | (12/20/94) |
| Brown             | U.S. Patent No. 5,794,219 | (08/11/98) |
| Fraser et al.     | U.S. Patent No. 5,905,974 | (05/18/99) |
| Garber            | U.S. Patent No. 5,963,923 | (10/05/99) |
| Brown             | U.S. Patent No. 6,023,686 | (02/08/00) |
| Aggarwal et al.   | U.S. Patent No. 6,151,589 | (11/21/00) |

FOREIGN PATENTS

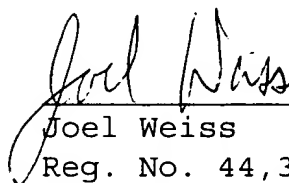
|   |            |
|---|------------|
| European Patent App. Publ. No. EP 0 987 644 | (03/22/00) |
| PCT Patent App. Publ. No. WO 00/11589       | (03/02/00) |
| PCT Patent App. Publ. No. WO 00/21013       | (04/13/00) |
| PCT Patent App. Publ. No. WO 00/26745       | (05/01/00) |

Copies of the aforementioned documents, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), are enclosed herewith. Applicants respectfully requested that these documents be: (1) fully considered by the Patent and Trademark Office during the examination of this application; and (2) printed on any patent which may issue on this application. Applicants further request that

a copy of Form PTO-1449, as considered and initialed by the Examiner, be returned with the next communication.

An early and favorable action is respectfully requested.

Respectfully submitted,



Joel Weiss  
Reg. No. 44,398  
Attorney for Applicants  
c/o FISH & NEAVE  
Customer No. 1473  
1251 Avenue of the Americas  
New York, New York 10020-1104  
Tel.: (212) 596-9000

I Hereby Certify that this  
Correspondence is being  
Deposited with the U.S.  
Postal Service as First  
Class Mail in an Envelope  
Addressed to:  
COMMISSIONER FOR  
PATENTS  
WASHINGTON, D.C. 20231 on

November 1, 2001  
Lillian Garcia



Signature of Person Signing